

# SID Policy on Project Management


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February 23, 2004

## Revision History

REVISION	DATE OF RELEASE	PURPOSE
Baseline	February 23, 2004	Initial Release (iManage SIDdocs #2453v6)

Approval

  
CHRISTINE DUNHAM, SID ASSISTANT DIRECTOR

## **1 INTRODUCTION**

### **1.1 Adoption of SID Policy**

As part of its ongoing commitment to process improvement and quality within the division, the Systems Integration Division (SID) is adopting this SID Policy and Standard for Project Management. This policy will help clarify and enhance its current practices, continue to align the organization with the Software Engineering Institute's Capability Maturity Model (SEI's CMM), and ensure compliance with the Department of Finance (DOF) Information Technology Oversight Framework (Budget Letter 03-04), dated 7 February 2003.

### **1.2 Applicability**

[1.2.1]<sup>1</sup> This policy shall apply to all SID projects<sup>2</sup> effective the date of this policy. Projects that are in the middle of an SID life cycle process<sup>3</sup> (at the effective date of this policy) are required to demonstrate due diligence in complying with this policy within 30 days, to the degree that it does not jeopardize their ability to satisfy prior project commitments.

[1.2.2] The SID Assistant Director shall consider special situations for non-compliance on a case-by-case basis.

[1.2.3] Projects requesting a waiver from the requirements in this policy shall comply with the Deviation/Waiver Process (iManage SIDdocs #2484).

[1.2.4] Projects that are in the Maintenance and Operations (M&O) life cycle phase shall, at a minimum, assess and report compliance with this policy on an annual basis.

[1.2.5] All other projects shall, at a minimum, assess and report compliance with this policy at the start of a new life cycle phase.

### **1.3 References**

The following documents were used in the creation of this policy: Refer also to the policies listed in Section 1.5.

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<sup>1</sup> Brackets [] are used as a reference designator for explicitly stated policy requirements ("shall's"). The numbers in the brackets are included in the SID Compliance Toolbox (iManage SIDdocs #2093) using a policy reference designator (e.g. PM Policy-1.2.1) for ease of verification and traceability to applicable CMM and TOSU requirements.

<sup>2</sup> In this document, SID Projects refer only to projects of a statewide nature (e.g. CWS/CMS, CMIPS, EBT, ISAWS, SFIS, etc.) and not to software release projects that are part of a routine Maintenance & Operations life cycle, or internally created projects and initiatives.

<sup>3</sup> The SID Best Practices web site defines the typical life cycle for software acquisition projects in the organization. Definitions for each life cycle phase are available at [www.bestpractices.cahwnet.gov/processes.htm](http://www.bestpractices.cahwnet.gov/processes.htm).

- Information Technology (IT) Oversight Framework, Budget Letter 03-04, dated 7 February 2003, Department of Finance – Technology Oversight and Security Unit.
- Software Acquisition Capability Maturity Model (SA-CMM), Version 1.02, Key Process Areas 2.1 – Software Acquisition Planning, 2.2 Project Management, 3.2 Project Performance Management, April 1999, Software Engineering Institute.
- Project Management Body Of Knowledge (PMBOK), 2000, Project Management Institute (PMI).
- Best Practices Web Site (BP website), Systems Integration Division (SID), <http://www.bestpractices.cahwnet.gov>.
  - Glossary and Acronyms, BP website, SID.

#### 1.4 Compliance Verification

[1.4.1] The SID Best Practices Support Group (BPSG) shall assess compliance to this policy at least annually using the applicable categories of the SID Compliance Assessment Toolbox (iManage SIDdocs #2093). For more information on compliance assessments, refer to the BPSG Project Plan.

#### 1.5 Relationship To Other Policies

[1.5.1] Projects shall utilize the following table of SID policies in conjunction with the SID Best Practices Website ([www.bestpractices.cahwnet.gov](http://www.bestpractices.cahwnet.gov)) for guidance on managing projects and for ensuring compliance with SID standards for best practices.

[1.5.2] Projects shall use the SID Management Plan Templates as a starting point and tailor them in accordance with available tailoring guides provided on the BP website.

SID Policy	SID Management Plan Template
SID Policy on Project Management (SIDdocs 2453)	SID Charter Template (SIDdocs 2490) SID Master Project Plan Template (SIDdocs 2513) for the Project Office SID Project Mgmt Plan (PMP) Template (SIDdocs tbd) for Prime Vendors SID Schedule Mgmt Plan Template (SIDdocs 2530) SID Communication Mgmt Plan Template (SIDdocs 2492)
SID Policy on Requirements Management (SIDdocs 2451)	SID Requirements Management Plan Template (SIDdocs 2468)
SID Policy on Quality Management (SIDdocs 2514)	SID Quality Management Plan Template (SIDdocs 2515)
SID Policy on Configuration Management (SIDdocs 2458)	SID Configuration Management Plan Template (SIDdocs 2499) SID Document Mgmt Plan (SIDdocs 2498)

SID Policy	SID Management Plan Template
SID Policy on Risk Management (SIDdocs 1806)	SID Risk Management Plan Template (SIDdocs 2349)
SID Policy on Procurement (SIDdocs 2452)	SID IT Procurement Plan (ITPP) Template (SIDdocs 2493)
SID Policy on Contract Management (SIDdocs 2458)	SID Contract Management Plan Template for Prime Vendors (SIDdocs tbd) SID Contract Management Plan Template for Consultant Vendors (SIDdocs 2476)
SID Policy on Project Office Training (SIDdocs 890)	SID Project Office Training Plan Template (SIDdocs tbd)
SID Policy on Transition to M&O (SIDdocs tbd)	SID M&O Transition Plan (SIDdocs tbd)

## 2 POLICY STATEMENT

It is the policy of SID to follow, adhere to, and implement proven project management best practices in compliance with the SEI CMM methodology, the DOF IT Project Oversight Framework, and the PMI PMBOK.

[2.0.1] Project Managers<sup>4</sup> shall comply with the requirements, procedures and processes referenced in this policy document.

### 2.1 Required Documentation

[2.1.1] Projects shall develop and maintain a Project Charter that establishes the vision, governance, business cases, goals, objectives, expected outcomes, key stakeholders, and sponsor(s) for the project.

[2.1.2] Projects shall document their specific approach to project management in a Master Project Plan (MPP) in accordance with the SID MPP Template and associated tailoring guidance on the BP website.

[2.1.3] Projects shall update and maintain their MPP until the system is retired or terminated.

[2.1.4] Projects shall produce and manage a minimum set of project management supporting documentation with a defined hierarchical relationship in accordance with the guidance provided on the BP website.

[2.1.5] Documentation related to project management, including supporting plans, processes and procedures, shall be tailored and revised (as appropriate) to accommodate the differences between SID acquisition life cycle phases as defined on the BP website and using the associated tailoring guidance.

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<sup>4</sup> The term Project Manager is used to define the person(s) assigned by the SID Assistant Director to manage a designated SID Project. Project Managers include the primary manager (sometimes referred to as the Project Director) and the Assistant Project Managers.

[2.1.6] The status of project management activities shall be documented and reviewed periodically (such as at key development milestones and prior to a contract end) with the project management team, quality management team, and Project Manager.

[2.1.7] The status of the project shall be documented and reviewed at least quarterly by the project management team, quality management team, Project Manager, and SID Assistant Director.

[2.1.8] Measurements showing the status of the project and project management activities shall be documented, tracked, and analyzed for trends.

Refer to the SID Policy on Quality Management for the specific metrics.

## **2.2 Project Management Roles & Responsibilities**

[2.2.1] The Project Manager shall be designated the sole responsible individual for implementation of this policy and for the overall success of the project.

[2.2.2] The Project Manager shall be responsible for all project management activities, either directly or by overseeing the work of others, including the development and maintenance of the MPP (based on the SID Master Project Plan Template).

[2.2.3] Projects shall tailor their functional organizational structure based on the project position in the SID Acquisition Life Cycle in accordance with the SID Master Project Plan Template and associated tailoring guidance.

[2.2.4] All of the defined model functional organizational chart functions that apply to the project's current life cycle phase shall be addressed in the MPP. For more information, see the model functional organizational charts and specific roles and responsibilities on the BP website.

Depending on the size and life cycle phase of the project, multiple individuals may perform a role or a single individual may perform multiple roles.

## **2.3 Project Management Training**

[2.3.1] Project Managers (and Assistant Project Managers) shall participate in initial and refresher SID Training for Project Managers.

[2.3.2] The Project Managers shall require all project office staff to be trained and maintain currency with SID training appropriate to their role on the project in accordance with the SID Policy on Training and the project-specific training plan.

## **2.4 Project Management Tools**

[2.4.1] At a minimum, the Project Manager shall employ automated tools to track the following types of project management requirements: Cost Management (e.g., MS Excel), Schedule Management (e.g., MS Project), and Issue Management (e.g., MS Access or MS Excel).

[2.4.2] Detailed project planning with all activities (tasks), milestones, dates and estimated hours by task shall be loaded to the project management tool with the lowest level tasks being of short duration with measurable outcomes.

[2.4.3] Completion dates for planned tasks shall be recorded within a project management tool.

[2.4.4] Actual hours expended by task shall be recorded at least monthly within a project management tool.

[2.4.5] A project management tool shall be used to record estimated hours to completion by task as part of a routine update (at least monthly) to the schedule.

## **2.5 Strategic Planning**

[2.5.1] Project Managers shall ensure that long-term planning<sup>5</sup> for future life cycle phases is included in the MPP by addressing areas such as technical refresh, M&O reprocurments, and external project interface management.

[2.5.2] The Project Manager shall review and update the strategic planning section of the MPP at each new planning phase to revise the “big picture” plan for the entire project (across all remaining life cycle phases).

Some of the SID Acquisition Life Cycle phases overlap and are not to be treated as exclusive sequential steps. Project Managers must take care to ensure crossover activities (e.g., System Development & System Implementation) are integrated into the MPP to ensure maximum coordination.

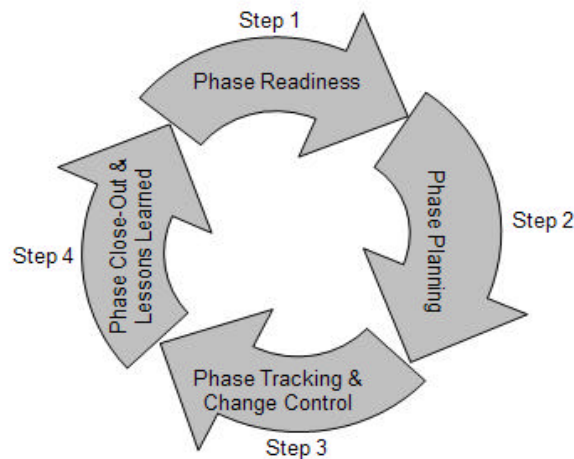
## **3 PROJECT MANAGEMENT METHODOLOGY**

The following represents the SID standard project management methodology (e.g., Readiness, Planning, Tracking & Change Control, Closeout & Lessons Learned) that is tailored from the PMBOK Framework. The requirements for implementing this methodology are defined below.

[3.0.1] The MPP shall describe or reference the specific plans, processes and procedures that will be used to manage the project.

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<sup>5</sup> The Software Engineering Institute (SEI) uses the term Software Acquisition Planning (SA-CMM) to address long-term strategies for acquisition. SID refers to this key process area as strategic planning.



### 3.1 Readiness

Readiness is the defined set of project management activities performed at each SID life cycle phase (once each at Initiation, Planning, Procurement, System Development, System Implementation, M&O, Closeout) in preparing for the start of an upcoming life cycle phase.

[3.1.1] Readiness activities shall be performed and documented using the guidance provided by the SID Master Project Plan (MPP) Template and associated tailoring guide.

[3.1.2] Projects shall conduct a project Readiness Review<sup>6</sup> with the Best Practices Support Group (BPSG) to review lessons learned (from other projects) and, where appropriate, to receive project assistance that can help in preparation for the coming life cycle phase.

### 3.2 Planning

Planning is the defined set of project management activities performed at each SID life cycle phase (once each at Initiation, Planning, Procurement, System Development, System Implementation, M&O, Closeout) explicitly for preparation and/or updating the MPP. Areas of primary focus include: requirements, cost, schedule, risk, procurement, quality, communication, and staff resources.

[3.2.0.1] Projects shall document and maintain their administrative processes, procedures, and guidelines for the project office in accordance with the guidance on the BP website.

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<sup>6</sup> Project Readiness Reviews are mini project reviews designed to assist project teams in preparation for a new life cycle phase. The BPSG facilitates these reviews on behalf of the project with a review of such things as lessons learned (from a similar project past), newly created policies, templates, and/or guidelines that might be applicable at the time of the readiness review.



### **3.2.1 Master Project Plan**

[3.2.1.1] Planning activities shall be performed and documented using the guidance provided by the SID Master Project Plan (MPP) Template and associated tailoring guide.

[3.2.1.2] Each project shall adhere to a common set of project management terms and definitions as defined by the BP website.

[3.2.1.3] The MPP shall be signed and approved by the Project Manager, establishing the formal project baseline.

### **3.2.2 Schedule Planning**

[3.2.2.1] Projects shall document and maintain their approach to managing the project schedule in accordance with the SID Schedule Management Template and associated tailoring guidance on the BP website.

[3.2.2.2] Detailed project planning with all activities (tasks), milestones, dependencies, dates and estimated hours by task shall be defined where the lowest level tasks are of short duration with measurable outcomes.

### **3.2.3 Staff Planning**

[3.2.3.1] Projects shall document and maintain their approach to managing staff resources in accordance with the SID Staff Management Template and associated tailoring guidance on the BP website.

[3.2.3.2] Formal staff planning shall be accomplished to include organization charts, written roles and responsibilities, plans for staff acquisition, schedule for arrival and departure of specific staff, and staff training plans.

### **3.2.4 Cost Planning**

[3.2.4.1] Projects shall document and maintain their approach to managing project costs in accordance with the SID Cost Management Template and associated tailoring guidance on the BP website.

[3.2.4.2] Project cost estimates and supporting data for each cost category shall be developed and maintained.

[3.2.4.3] Projects shall ensure that an independent review of project cost estimates is conducted before finalizing project costs.

### **3.2.5 Communications Planning**

[3.2.5.1] Projects shall use the SID Communications Management Plan Template and utilize associated tailoring guidance provided on the BP website to document and maintain project communication needs, including governance, issues & action item tracking, dispute resolution, escalation, and problem tracking.

[3.2.5.2] The Communications Management Plan shall include a written escalation procedure for issues and risks.

### **3.2.6 Implementation Planning**

[3.2.6.1] Projects shall document and maintain their approach to implementation in accordance with the SID Implementation Plan Template and associated tailoring guidance on the BP website.

### **3.2.7 Maintenance and Operations (M&O) Planning**

[3.2.7.1] Projects shall document and maintain their approach to Maintenance & Operations in accordance with the M&O Plan Template and associated tailoring guidance on the BP website.

## **3.3 Tracking and Change Control**

Tracking and Change Control is the defined set of project management activities performed continuously during each SID life cycle phase (e.g. Initiation, Planning, Procurement, System Development, System Implementation, M&O, Closeout) to ensure the proper execution and control of the project baseline as defined by the MPP for the activities unique to the current life cycle phase.

[3.3.0.1] Tracking and change control activities shall be performed and documented using the guidance provided by the SID Master Project Plan (MPP) Template and associated tailoring guide.

### **3.3.1 Cost and Schedule Tracking**

[3.3.1. 1] Completion dates for planned tasks shall be recorded.

[3.3.1.2] Estimated hours to complete by task shall be recorded at least monthly.

[3.3.1.3] Actual hours expended by task shall be recorded at least monthly.

[3.3.1.4] Recording of actual costs by cost category shall be compared to the budget amounts.

[3.3.1.5] Supporting data shall be collected and maintained to validate actual costs.

### **3.3.2 Communication**

[3.3.2.1] Project Managers shall facilitate the management and tracking of communications for the duration of the project in accordance with the project's Communication Management Plan.

[3.3.2.2] Stakeholders shall be regularly involved in major project decisions, issue resolution and risk mitigation.

[3.3.2.3] Where appropriate, users shall be involved in decision-making, issue resolution, requirements development, and testing efforts.

[3.3.2.4] The project shall formally document and track issues/problems and their resolution, including assignment of specific staff responsibility for issue resolution and specific deadlines for completion of resolution activities.

### **3.3.3 Status Reporting**

[3.3.3.1] Key stakeholders shall be provided periodic status reports, including progress against schedule and budget, risk management results and status, issue management results and status, and recent decisions, as appropriate.

[3.3.3.2] Tracking and reporting of workplan activities completion, deliverables, resource utilization, schedule and milestone completion status shall be included in written status reports.

### **3.3.4 Project Reviews**

[3.3.4.1] The Project Manager shall conduct formal project reviews for the SID Assistant Director on a periodic basis (or as needed) in accordance with the project Communications Management Plan and associated guidance from the BP website.

[3.3.4.2] As a minimum, topics for project reviews shall include: strategic planning, procurements, requirements, project management, contract tracking, evaluations, quality, process improvement, risk management, and transition planning.

[3.3.4.3] The Project Manager shall conduct internal project reviews on a periodic basis (or as needed) in accordance with the project Communications Management Plan.

## **3.4 Phase Close-out & Lessons Learned**

Phase Close-out & Lessons Learned is the defined set of project management activities performed at each SID life cycle phase (once each at Initiation, Planning, Procurement, System Development, System Implementation, M&O, Closeout) to ensure the proper closure of a current life cycle phase before proceeding to the next phase.

[3.4.1] Phase Close-out & Lessons Learned activities shall be performed and documented using the guidance provided by the SID Master Project Plan (MPP) Template and associated tailoring guide.

[3.4.2] Projects shall document lessons learned at the conclusion of each SID life cycle phase as a means to improve common business practices and to ensure projects are sharing best practices with each other.

[3.4.3] Lessons learned shall be forwarded to the BPSG for inclusion in the division repository.